

12/28/01

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>		Attorney Docket No. 216780US-2 DIV
First Inventor or Application Identifier SATOSHI SHIM		
Title MIS TRANSISTOR AND METHOD OF FABRICATING THE SAME		
Assignee Name: MITSUBISHI DENKI KABUSHIKI KAISHA		
Assignee Address: 2-3, MARUNOUCHI 2-CHOME, CHIYODA-KU, TOKYO 100 JAPAN		

12/28/01  
10/28/96  
10/28/96  
10/28/96

12/28/01

APPLICATION ELEMENTS <small>See MPEP chapter 600 concerning utility patent application contents</small>		ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g. PTO/SB/17) (Submit an original and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Specification Total Sheets <b>32</b></p> <p>3. <input checked="" type="checkbox"/> Formal Drawing(s) (35 U.S.C. 113) Total Sheets <b>25</b></p> <p>4. <input checked="" type="checkbox"/> Oath or Declaration Total Pages <b>3</b></p> <p>a. <input type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input checked="" type="checkbox"/> Copy from a prior application (37 C.F.R. §1.63(d)) (for continuation / divisional w/ box 17 completed)</p> <p>i. <input type="checkbox"/> DELETION OF INVENTOR(S) <small>Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §1.63(d)(2) and 1.33(b).</small></p> <p><input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p><input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)</p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. Specification or Sequence Listing on:</p> <p>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</p> <p>ii. <input type="checkbox"/> Paper</p> <p>c. <input type="checkbox"/> Statements verifying identity of above copies</p>		<p><b>ACCOMPANYING APPLICATION PARTS</b></p> <p>7. <input checked="" type="checkbox"/> Assignment Papers recorded @ reel 010706/frame 0599</p> <p>8. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p> <p>9. <input type="checkbox"/> 37 C.F.R. §3.73(b) Statement (when there is an assignee) <input type="checkbox"/> Power of Attorney</p> <p>10. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>11. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations</p> <p>12. <input checked="" type="checkbox"/> Preliminary Amendment w/Marked-Up Copy</p> <p>13. <input checked="" type="checkbox"/> White Advance Serial No. Postcard</p> <p>14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)</p> <p>15. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p> <p>16. <input checked="" type="checkbox"/> Other: Request for Priority 2 / Prel. amdt. A E. Villio 3-25-02</p>

If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application no.: 08/874,410

Prior application information: Examiner: Nguyen, C Group Art Unit: 2811

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. Amend the specification by inserting before the first line the sentence:

**A1** ☒ This application is a ☐ Continuation ☒ Division ☐ Continuation-in-part (CIP)  
of application Serial No. 08/874,410 Filed on June 13, 1997

☐ Which was published in English


☐ Which was not published in English

☐ This application claims priority of provisional application Serial No. Filed

19. CORRESPONDENCE ADDRESS



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(703) 413-3000  
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Name:	Gregory J. Maier	Registration No.:	25,599
Signature:		Date:	12-28-01
Name:	Surinder Sachar	Registration No.:	34,423

Docket No. 216780US-2 DIV

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

INVENTOR(S) SATOSHI SHIMIZU ET AL

SERIAL NO: New Application

FILING DATE: Herewith

FOR: MIS TRANSISTOR AND METHOD OF FABRICATING THE SAME

**FEE TRANSMITTAL**

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

FOR	NUMBER FILED	NUMBER EXTRA	RATE	CALCULATIONS
TOTAL CLAIMS	4 - 20 =	0	× \$18 =	\$0.00
INDEPENDENT CLAIMS	2 - 3 =	0	× \$84 =	\$0.00
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS (If applicable)			+ \$280 =	\$0.00
<input type="checkbox"/> LATE FILING OF DECLARATION			+ \$130 =	\$0.00
BASIC FEE				\$740.00
TOTAL OF ABOVE CALCULATIONS				\$740.00
<input type="checkbox"/> REDUCTION BY 50% FOR FILING BY SMALL ENTITY				\$0.00
<input type="checkbox"/> FILING IN NON-ENGLISH LANGUAGE			+ \$130 =	\$0.00
<input type="checkbox"/> RECORDATION OF ASSIGNMENT			+ \$40 =	\$0.00
TOTAL				\$740.00

Please charge Deposit Account No. 15-0030 in the amount of

A duplicate copy of this sheet is enclosed.

A check in the amount of **\$740.00** to cover the filing fee is enclosed.

The Commissioner is hereby authorized to charge any additional fees which may be required for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.



Date: Dec. 28, 2001

Gregory J. Maier

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Surinder Sachar

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(OSMMN 10/00)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: SATOSHI SHIMIZU ET AL

GAU:

SERIAL NO: NEW APPLICATION

EXAMINER:

FILED: HERewith

FOR: MIS TRANSISTOR AND METHOD OF FABRICATING THE SAME

REQUEST FOR PRIORITY

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

SIR:

- ☒ Full benefit of the filing date of U.S. Application Serial Number 08/874,410, filed June 13, 1997, is claimed pursuant to the provisions of 35 U.S.C. §120.
- ☐ Full benefit of the filing date of U.S. Provisional Application Serial Number , filed , is claimed pursuant to the provisions of 35 U.S.C. §119(e).
- ☒ Applicants claim any right to priority from any earlier filed applications to which they may be entitled pursuant to the provisions of 35 U.S.C. §119, as noted below.

In the matter of the above-identified application for patent, notice is hereby given that the applicants claim as priority:

<u>COUNTRY</u>	<u>APPLICATION NUMBER</u>	<u>MONTH/DAY/YEAR</u>
JAPAN	9-021531	FEBRUARY 4, 1997

Certified copies of the corresponding Convention Application(s)

- ☐ are submitted herewith
- ☐ will be submitted prior to payment of the Final Fee
- ☒ were filed in prior application Serial No. 08/874,410 filed 6-13-97.
- ☐ were submitted to the International Bureau in PCT Application Number .  
Receipt of the certified copies by the International Bureau in a timely manner under PCT Rule 17.1(a) has been acknowledged as evidenced by the attached PCT/IB/304.
- ☐ (A) Application Serial No.(s) were filed in prior application Serial No. filed ; and  
(B) Application Serial No.(s)
  - ☐ are submitted herewith
  - ☐ will be submitted prior to payment of the Final Fee

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.



Gregory J. Maier  
Registration No. 25,599

Surinder Sachar  
Registration No. 34,423



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NEW PATENT APPLICATION CHECKLIST FOR MATTERS OF FORM

10028766

Examiner:

The items checked below have been noted in processing this application as filed.

After the typist has included these statements in the first Office action, please initial this form in the margin to the left of the appropriate paragraph. Please do NOT remove from the file jacket.

1. SPECIFICATION, JUMBO APPLICATION NOT CHECKED FOR MINOR ERRORS (If more than 20 pages of description, exclusive of claims.)

☐ Because of the lengthy specification in this application, it has not been checked to the extent necessary to determine the presence of all possible minor errors. Applicant's cooperation is therefore requested in promptly correcting any errors of which he may become aware in the specification or drawings.

2. RESIDENCE OMITTED (MPEP 605.02 and 603.03)

☐ Applicant's residence has been omitted from the papers. The city and state of his post-office address will be presumed to be the city and state of his residence. If the above is incorrect, applicant should submit a statement of his place of residence no later than at the time of payment of the issue fee.

3. PRIORITY PAPERS, ACKNOWLEDGMENT (MPEP 201.14(c))

☐ Receipt is acknowledged of papers submitted under 35 U.S.C. 119, which papers have been placed of record in the file.

4. PRIORITY PAPERS, ACKNOWLEDGMENT, PAPERS IN PARENT APPLICATION (MPEP 201.14(b))

☐ Applicant's claim for priority, based on papers filed in parent application Serial No. \_\_\_\_\_ submitted under 35 U.S.C. 119, is acknowledged.

5. PRIORITY, CLAIM FOR BUT NO PAPERS FILED (MPEP 201.14(c))

☒ Acknowledgment is made of applicant's claim for priority based on an application filed in Japan on 2-4-97. It is noted, however, that applicant has not filed a certified copy of said application as required by 35 U.S.C. 119.

6. PRIORITY PAPERS, MORE THAN ONE YEAR SINCE FILING IN FOREIGN COUNTRY (MPEP 201.14(c))

☐ Receipt is acknowledged of the filing on \_\_\_\_\_, of a certified copy of the \_\_\_\_\_ application referred to in the \_\_\_\_\_. \* A claim for priority can not be based on said application, since the United States application was filed more than twelve months thereafter.

7. PRIORITY, REFERENCE IN OATH OR DECLARATION OMITTED (MPEP 201.14(c))

☐ Receipt is acknowledged of papers filed \_\_\_\_\_, based on an application filed in \_\_\_\_\_ on \_\_\_\_\_. Applicant has not complied with the requirements of Rule 65(a), since the \_\_\_\_\_ \* does not acknowledge the filing of any foreign application. A new \_\_\_\_\_ \* is required.

\* INSERT EITHER "DECLARATION" OR "OATH" WHICHEVER IS APPLICABLE.

CLERK

E. Willis

DATE

3-11-02